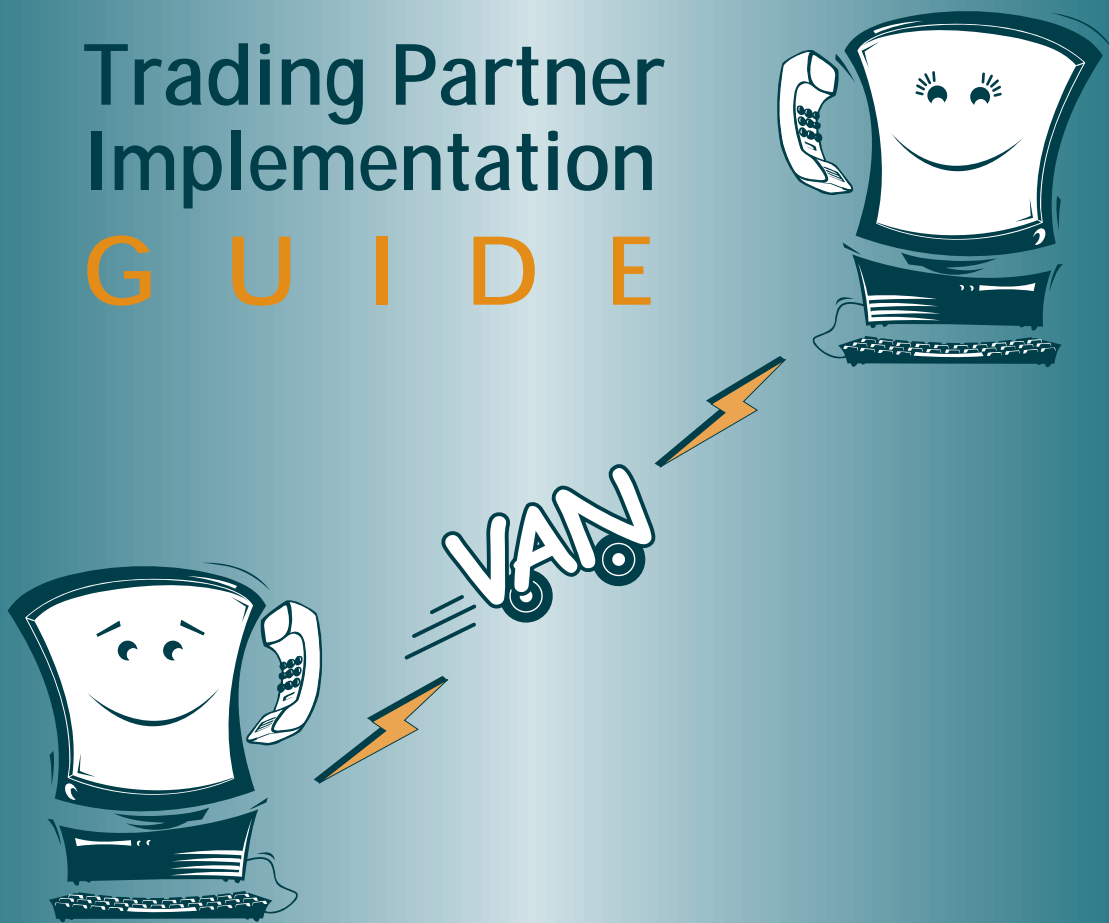




Serving the People of California

Electronic Data Interchange

Trading Partner Implementation GUIDE



Quarterly Wage and Withholding Reporting Program
July 1, 1998

State of California / Employment Development Department

DE 813 (7-98) (INTERNET)

COVER + 25 PAGES

GA 818 D

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SECTION A

General Filing Information

PUBLICATION CONTENT

This guide contains the instructions and technical specifications for reporting DE 6 quarterly wage and state tax withholding information to the State of California, Employment Development Department (EDD) through Electronic Data Interchange (EDI). EDI is a computer to computer exchange of routine business documents in a standard format between trading partners (California employers and EDD).

REPORTING REQUIREMENTS

Effective January 1, 1995, Assembly Bill 3086 requires employers to make their Quarterly Wage and Withholding Report (Section 1088 (a) (1) of the California Unemployment Insurance Code [CUIC]) by magnetic media if the employer is required to report W-2 data to the Federal Government by magnetic media. EDI provides one method to electronically report required data. When using EDI, you will be in compliance with the mandatory magnetic media reporting requirements. Tape, cartridge, and diskette data files are additional methods of magnetic media. Tape, cartridge, and diskette specifications are available in the Magnetic Media Reporting Requirements for Quarterly Wage and Withholding Reporting Program, DE 8300.

Currently, the Federal Government requires employers with 250 or more W-2s to file by magnetic media. During the calendar year, the magnetic media filing threshold applies to employers who have 250 or more California employees. Multi-state filers who have less than 250 California employees will not be required to report on magnetic media; however, they are encouraged to do so.

For California purposes, this means that within 90 days of becoming subject to the federal W-2 reporting requirement, an employer must:

- Submit an EDI or magnetic media (diskette, tape, and/or cartridge) file to the EDD for approval and begin using that method for filing wage and withholding reports for subsequent quarters,

(or)

- Request a waiver from the magnetic media requirement.

WAIVER REQUEST

Employers may request a waiver from the state's mandatory magnetic media requirement. Employers must establish, to the satisfaction of the Director of EDD (the Director), that there is a lack of automation, a severe economic hardship, a current exemption from submitting magnetic media information returns for federal purposes, or other good causes for not complying with the requirement. Approved waivers shall be valid for six months or longer, at the discretion of the Director. Employers may file a copy of their Federal exemption approval letter or file, Waiver Request from Filing Quarterly Wages on Magnetic Media, form DE 3086M. Waiver requests must be filed within 90 days of becoming subject to the magnetic media requirement.

PENALTIES

Failure to File - Any employer who without good cause fails to file a Quarterly Wage and Withholding Report, form DE 6, after notice by the Director of a magnetic media filing requirement, will be assessed a penalty of ten dollars (\$10) for each wage item per Section 1114(b) of the CUIA.

Late Filing - Any employer, who without good cause fails to file a Quarterly Wage and Withholding Report, form DE 6, within 15 days after a specific written demand, will be assessed a penalty of ten dollars (\$10) for each unreported wage item per Section 1114 of the CUIA.

Corrected Files - If EDD rejects a timely EDI transmission which contain specification defects, EDD provides the filer 15 days from the date of notification of rejection to correct and resubmit the corrected EDI file to EDD. (If the file is re-submitted within this period, a penalty for late filing will not be imposed.)

FILING DEADLINES

Quarterly wage and withholding information, DE 6 data, is due within one month after the quarter ends. The postmark date of an EDI transmission will be the mailbox receipt date. The EDD has contracted with Harbinger Corporation, a Value Added Network (VAN), for EDI communication and mailbox services. When transmitting DE 6 quarterly wage and withholding data, the transmission must be completed before 9 p.m. Pacific Time, by the last timely due date. Early submission of data files will ensure receipt of the electronic file and avoid late filing penalties and interest.

When initiating your DE 6 data transmission through a separate VAN service provider, please be sure to contact them regarding any time constraints. This will ensure the coordination of VAN scheduling which results in the timely receipt of the EDI data.

It is your responsibility to schedule the timely transmission of your EDI data to ensure timely receipt by the EDD's VAN.

QUARTERLY DUE DATE CHART

The filing due dates and delinquency dates for the remaining quarters for 1998 Quarterly Wage and Withholding Report and for 1999 are as follows:

REPORTING PERIOD	FILING DUE DATE	DELINQUENT IF NOT RECEIVED IN THE VAN BY 9 p.m. ON
July, August, September	October 1, 1998	November 2, 1998
October, November, December	January 4, 1999	February 1, 1999
January, February, March	April 1, 1999	April 30, 1999
April, May, June	July 1, 1999	August 2, 1999
July, August, September	October 1, 1999	November 1, 1999
October, November, December	January 3, 2000	January 31, 2000

SECTION B

How does EDI work?

DEFINITION EDI is an electronic exchange of business documents between trading partners. Each employer or agent (transmitter reporting on behalf of employers) trading EDI documents are called trading partners. The format coding is from the American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12 standards.

VALUE ADDED NETWORK (VAN) Data is interchanged between the employer and the EDD's VAN. The VAN is a "collector" of transmissions, which are data files formatted into transaction sets containing wage and withholding information. A VAN is a central computer service, which provides access via dial up and performs basic data storing, data forwarding, and data retrieving functions in a secure environment. The VAN stores your electronic transmission until the data is requested from the EDD's mailbox, where it will be downloaded and processed. The VAN is available to answer your questions on communication requirements, technical transmission problems, and VAN services.

TRANSACTION SETS The EDI transmission is made up of transaction sets, the term used to describe the electronic equivalent of a paper document. The data included in the transaction set conveys the same information as the paper reporting form.

The data is organized in a defined relationship from the quarterly payroll records to the ANSI X12 standards. This is called an 813 transaction set, "Electronic Filing of Tax Return Data." The transaction set is written in ANSI X12, version release 003040. When the EDD receives the transmission, it will be reviewed for compliance to the ANSI X12 standards. The business day after receiving an 813 transaction set, a 997 transaction set is returned to the sender acknowledging receipt of the tax return transmission. A "Functional Acknowledgment" 997 transaction set will notify the sender either of a successful transmission with a postmark of the receipt of your return or if the interchange can not be translated, an error code(s) will appear. The 997 transaction set provides the assurance that the transmission was not lost and that it was deemed to be ANSI X12 compliant. Any ANSI X12 syntax errors will cause the transmission to be rejected. Rejected transmissions must be corrected and retransmitted.

TRANSACTION SETS (Continued)

Employers will maintain their own payroll system, EDI interface, and VAN. EDI software may be developed with internal technical resources or there are software packages available. The software interface moves electronic transactions from the payroll system and maps them to the EDI 813 transaction set.

A transaction set is composed of several segments. The segment called Interchange Control Header Segment (ISA) defines the beginning of the transmission. The Functional Group Header Segment (GS) identifies the trading partner set up. The information previously reported on paper is included from the Transaction Set Header Segment through the Detail Segments until the Transaction Set Trailer Segment. The Function Group Trailer Segment (GE) indicates the end of a functional group. The Interchange Control Trailer (IEA) defines the end of transmission.

As contained in each transaction set, the segments that correspond directly to the format are:

HEADER:

- The Transaction Set Header Segment contains a segment that identifies the 813 transaction set.
- The Beginning Tax Segment identifies the document and the state code the file is for.
- The Date/Time Reference Segment designates the quarter.
- Tax Information and Amount Segment provides a summary of all wages and withholding data, mid-month employee counts, and the employer name.

DETAIL:

The Tax Form Segment identifies the tax form number, DE 6, and provides:

- Employee social security number and name
- Unemployment insurance wages, personal income taxable wages, personal income tax withholding, and
- Wage Plan Code.

SUMMARY:

The Transaction Set Trailer Segment provides a segment count.

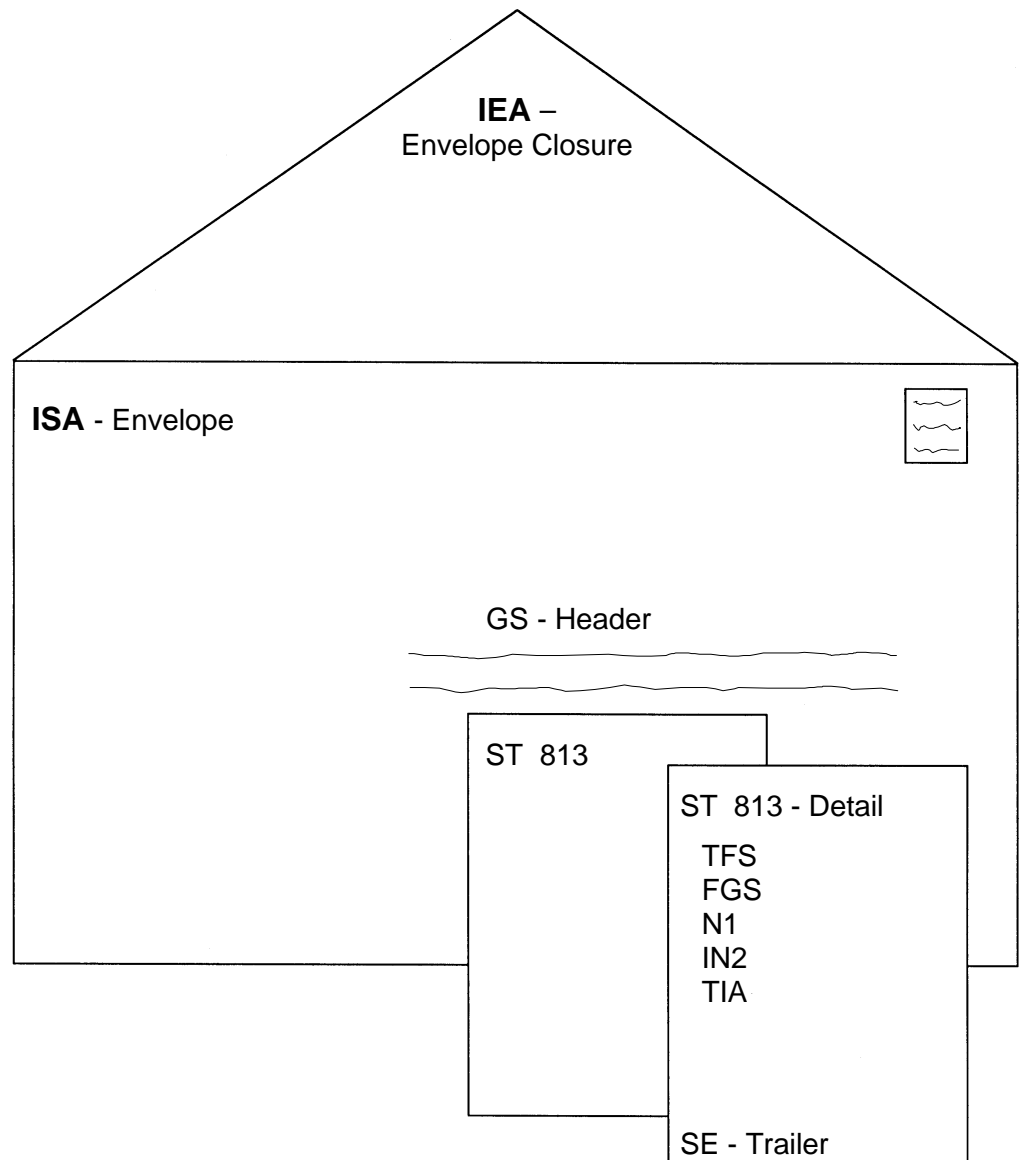
TRANSACTION SETS (Continued)

Please note: It is possible to use more than one Wage Plan Code, within the DETAIL segments for Tax Information and Amount Segment, within one transaction set. The Wage Plan Code indicates the type of coverage an employee has and is correlated with your EDD employer account number. If more than one code is used, each code must be grouped together.

WHAT TO DO IF NO PAYROLL FOR THE QUARTER

The EDI file may be used to fulfill reporting requirements when no payroll occurred for the quarter. Besides the ISA, GS, GE, and IEA segments, the four mandatory segments within the HEADER record and the SUMMARY record should be completed to fulfill the filing requirement for the quarter.

SAMPLE STRUCTURE



REGISTRATION PROCESS

Each employer or authorized agent participating in the EDI program shall have a signed Electronic Data Interchange Filing Agreement, form DE 813A, on file with EDD. The signature of the employer on the filing agreement shall serve as the signature for all future electronically filed transmissions.

Agents who transmit for one or more employers need only file one agreement form which includes each employer's name, EDD employer account number, and estimated number of employees. An attached employer list is acceptable.

Once the DE 813A is on file, it will remain in effect for succeeding quarters provided there is no interruption in electronic reporting. If a break in electronic reporting occurs, a new filing agreement form must be filed before electronic reporting may resume. If you discontinue to file your DE 6 electronically, you are still mandated to meet the quarterly filing requirements per Section 1088(a)(1) of the CUIIC.

HOW TO OBTAIN A DUNS NUMBER

To fulfill the EDI reporting format, each Trading Partner must obtain and include their Data Universal Numbering System (D-U-N-S) number in the ISA (envelope) segment. The D-U-N-S number is a unique nine-digit number DUN & BRADSTREET assigns to each unique business location. Endorsed by the United Nations as a global business identification standard, a D-U-N-S number is required in the EDI format. There is no charge to obtain a D-U-N-S number. Please call DUN & BRADSTREET at (215) 882-7748 to obtain your number. For Customer Service call (800) 234-DUNS.

**VALUE ADDED
NETWORK:
HARBINGER
CORPORATION**

A VAN has been selected to receive data transmissions from California employers. The EDI transmission requires connection with Harbinger Corporation. The VAN will handle multiple protocols and baud rates. It will be accessible seven days a week. The VAN provides the date and time stamp for data received and forwarded to EDD. It will have a HELP desk available. The VAN will verify the file is formatted in the ANSI X12 standard.

To contact Harbinger Customer Service, please call (800) 555-2989.

In communicating with a VAN, please adhere to security procedures prescribed by that service to ensure authorization and password security.

TEST FILES

Prior to participating in the EDI program, an Electronic Data Interchange Filing Agreement, form DE 813A, shall be on file with EDD. Also, a test file must be submitted to ensure process compatibility of the 813 transaction set. Test files may consist of actual or test data. Test files may be submitted any time prior to the initial reporting. Test results will be reported back to the transmitter as soon as possible after the test of the file is complete. The DE 813A shall be mailed to:

Employment Development Department
Goethe Tax Operation
Electronic Data Interchange, MIC 96
PO Box 826880
Sacramento, CA 94280-0001

CORRECTIONS

Occasionally a transmitter may find it necessary to correct some information previously reported on an EDI file. Should this situation arise, employers should file a Tax and Wage Adjustments Form, DE 678. Part V of the DE 678 instructs employers to add or adjust information that was previously reported.

SUPPLEMENTAL DE 6

If it were determined that employees were missing from the original quarterly EDI file, it is possible to submit a secondary file by designating the information as a "Supplemental DE 6". The optional Header Record Segment reflects "Supplemental DE 6" in the Reference Numbers Segment. This reporting will be added to the prior completed filing for the same quarter.

SPECIAL REPORTING INSTRUCTIONS FOR STATE AND LOCAL GOVERNMENT EMPLOYERS

Many governmental entities have more than one EDD employer account number. Each EDD employer account number must file a contribution and wage report detailing each employee covered by that program. In many cases a governmental entity will have a 900 series (Unemployment Insurance) account number, a 776 series (Disability Insurance) account number and an 800 series (Personal Income Tax) account number. A separate 813 transaction set must be written for each account number being reported. The wage plan codes are listed in Section D of this guide. Examples: 944 series account numbers would have a wage plan code of "A"; 776 series account numbers would have a wage plan code of "J"; and 800 series account numbers would report a wage plan code of "P". The same employee may be reported under all three EDD employer account numbers.

NAME FORMATTING

Transmitters should report the employee name in upper case. Punctuation may be used when appropriate. Leading titles, e.g., Mr., Mrs., **must** be omitted from the name field. Examples of the employee's last name may be as follows:

JONES-JR
*OCONNELL
*MCCONNELL
SMITH-JONES

Note: Leading letters (e.g., "O", "MC", etc.) must not be separated from the rest of the surname by a blank. Names must not be separated by spaces.

INFORMATION CONTACT

If you have questions or would like further information on EDI, please call or write:

EDI HELP DESK

(916) 255-1649

Employment Development Department
Goethe Tax Operation
Electronic Data Interchange, MIC 96
PO Box 826880
Sacramento, CA 94280-0001

KEY POINTS IN FILE CONSTRUCTION

- All data elements noted as mandatory must be included.
- If a specific value is noted within quotes for a data element, please use that value.
- The value field for date and time data elements shows the format to be used.
- If the value field is blank, it may be a user defined/software general value, unique to your business or defined as a "NOT USED" data element. All data elements should contain data unless defined as "NOT USED."
- The tilde (~) is used to separate data elements within each segment.
- The asterisk (*) is used as the segment terminator.
- The caret (^) is used as the sub-element terminator.
- Whenever a data element within a segment is noted as "NOT USED," in the VALUE/DESCRIPTION column of the mapping, you must use an additional tilde to indicate the unused data element.
- All dollar amounts must be represented with decimal and cents.
- Do not map zero dollar values.
- If you are filing more than one DE 6 at the same time, separate Functional Group Segments are required for each DE 6 being filed.
- Alphabetic characters must be written in only upper case letters.

SECTION C

TECHNICAL SPECIFICATIONS

813 Transaction Set Electronic Filing of Tax Return Data

Functional Group=TF

This ANSI Draft Standard for Trial Use contains the format and establishes the data contents of the Electronic Filing of Tax Return Data (813) Transaction Set for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used by tax filers to electronically file tax returns with a federal, state, or local taxing authority.

Table 1						
<u>NOTE</u>	<u>POS. NO.</u>	<u>SEG. ID</u>	<u>NAME</u>	<u>REQ. DES.</u>	<u>MAX USE</u>	<u>LOOP REPEAT</u>
N	010	ST	Transaction Set Header	M	1	
	020	BTI	Beginning Tax Information	M	1	
	030	DTM	Date/Time Reference	M	10	
	040	TIA	Tax Information and Amount	M	1000	
	043	REF	Reference Numbers	O	10	
	045	TRN	Trace	O	1000	
	047	BPR	Beginning Segment for Payment Order/Remittance Advice	O	1000	
LOOP ID - N1						5
N	050	N1	Name	O	1	
	060	N2	Additional Name Information	O	2	
	070	IN2	Individual Name Structure Components	O	10	
	080	N3	Address Information	O	2	
	090	N4	Geographic Location	O	1	
	100	PER	Administrative Communications Contact	O	2	

Table 2						
<u>NOTE</u>	<u>POS. NO.</u>	<u>SEG. ID</u>	<u>NAME</u>	<u>REQ. DES.</u>	<u>MAX USE</u>	<u>LOOP REPEAT</u>
LOOP ID - TFS						100000
N	010	TFS	Tax Form	O	1	
	020	REF	Reference Numbers	O	10	
	030	DTM	Date/Time Reference	O	10	
	040	MSG	Message Text	O	1000	
LOOP ID - N1						5
N	050	N1	Name	O	1	
	060	N2	Additional Name Information	O	2	
	070	IN2	Individual Name Structure Components	O	10	
	080	N3	Address Information	O	2	
	090	N4	Geographic Location	O	1	
LOOP ID - FGS						100000
N	100	FGS	Form Group	O	1	
	110	REF	Reference Numbers	O	10	
	120	DTM	Date/Time Reference	O	10	
LOOP ID - N1						5
N	130	N1	Name	O	1	
	140	N2	Additional Name Information	O	2	
	150	IN2	Individual Name Structure Components	O	10	

TRANSACTION SET TABLES

ELECTRONIC FILING OF TAX RETURN DATA - Transaction Set

<u>NOTE</u>	<u>POS. NO.</u>	<u>SEG.</u> <u>ID</u>	<u>NAME</u>	<u>REQ. DES.</u>	<u>MAX USE</u>	<u>LOOP REPEAT</u>
	160	N3	Address Information	O	2	
	170	N4	Geographic Location	O	1	
LOOP ID - TIA						10000
	180	TIA	Tax Information and Amount	O	1	
	190	DTM	Date/Time Reference	O	10	
	200	MSG	Message Text	O	1000	

Table 3

<u>NOTE</u>	<u>POS. NO.</u>	<u>SEG.</u> <u>ID</u>	<u>NAME</u>	<u>REQ. DES.</u>	<u>MAX USE</u>	<u>LOOP REPEAT</u>
	010	SE	Transaction Set Trailer	M	1	

NOTES

- 1/040 The TIA segment allows for tax information and amounts associated with the entire filing.
1/050 This N1 loop reflects names and addresses associated with the entire filing.
2/050 This N1 loop reflects names and addresses associated with a particular tax form (TFS).
2/130 This N1 loop reflects names and addresses associated with a particular subset of a tax form.

813 TRANSACTION SET - MAPPING FOR DE6 -- QUARTERLY WAGE AND WITHHOLDING REPORT

TABLE 1 -- ENVELOPE

ISA – INTERCHANGE CONTROL HEADER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
ISA01	I01		ID	M	2	2	00=No authorization data
ISA02	I02		AN	M	10	10	Spaces
ISA03	I03		ID	M	2	2	00=Indicates no security data
ISA04	I04		AN	M	10	10	Spaces
ISA05	I05		ID	M	2	2	01=Senders DUNS Number Qualifier
ISA06	I06		AN	M	15	15	=Senders DUNS Number
ISA07	I07		ID	M	2	2	01=EDD DUNS Number Qualifier
ISA08	I08		AN	M	15	15	614215531=EDD DUNS Number
ISA09	I09		ID	M	6	6	YYMMDD=Interchange Date (Date Interchange was sent)
ISA10	I10		TM	M	4	4	HHMM=Interchange Time (Time interchange was sent)
ISA11	I11		ID	M	1	1	U=Standards Version
ISA12	I12		ID	M	5	5	003040=Standards Version
ISA13	I13		N0	M	9	9	Interchange Control Number Generated by Sender (SAME AS IEA02)
ISA14	I14		ID	M	1	1	1=Interchange acknowledgment requested
ISA15	I15		ID	M	1	1	T=Indicates TEST data transmitted Or P=Indicates PRODUCTION data transmitted
ISA16	I16		AN	M	1	1	^=Sub-element separator

ISA~00~ ~00~ ~01~99999999999999~01~614215531 ~YYMMDD~HHMM~U~003040~999999999~1~P~^*

GS – FUNCTION GROUP HEADER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
GS01	479		ID	M	2	2	TF=Tax filing transaction set
GS02	142		AN	M	2	15	Application Senders Code
GS03	124		AN	M	2	15	Application Receivers Code
GS04	373		DT	M	6	6	YYMMDD=Function group creation date
GS05	337		TM	M	4	8	HHMM=Function group creation time
GS06	28		N0	M	1	9	Group control number (Generated by Sender) (SAME AS GEO2)
GS07	455		ID	M	1	2	X=ASC12
GS08	480		AN	M	1	12	003040=Standards Version Being used

GS~TF~ ~614215531~YYMMDD~HHMM~9~X~003040*

TABLE 2 -- HEADER

TRANSACTION SET HEADER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
ST01	143	Tran Set Identifier	ID	M	3	3	"813"
ST02	329	Tran Set Control Num	AN	M	4	9	Determined by Sender

ST~813~999999999*

BEGINNING TAX INFORMATION SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
BTI01	128	Ref Num Qualifier	ID	M	2	2	"T6"=Tax Filing
BTI02	127	Reference Number	AN	M	3	3	"DE6"=Quarterly Wage Report
BTI03	66	ID Code Qualifier	ID	M	2	2	"47"=Tax Authority Identification
BTI04	67	Identification Code	AN	M	2	2	"CALEDD"=State & Dept. Abbv
BTI05	373	Date	DT	M	6	6	Transaction Set Creation Date (YYMMDD)
BTI06	818	Name Control Identifier	AN	O			Not Used
BTI07	66	ID Code Qualifier	ID	M			Not Used
BTI08	67	Identification Code	AN	M			Not Used
BTI09	66	ID Code Qualifier	ID	M	2	2	"49"=State Identification Number
BTI10	67	Identification Code	AN	M	11	11	California Employer ID Num + Branch Code

BTI~T6~DE6~47~CALEDD~YYMMDD~~~~49~999999999999*

DATE/TIME REFERENCE SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
DTM01	374	Date/Time Qualifier	ID	M	3	3	"327"=Quarter Ending
DTM02	373	Date	DT	O			Not Used
DTM03	337	Time	TM	O			Not Used
DTM04	623	Time Code	ID	O			Not Used
DTM05	624	Century	NO	O			Not Used
DTM06	1250	Date Time Period Format Qualifier	ID	M	2	3	"D8"=Date expressed in format CCYYMMDD
DTM07	1251	Date Time Period	AN	M	1	8	Last Day of Quarter(CCYYMMDD)

DTM~327~~~~~D8~CCYYMMDD*

TABLE 2 -- HEADER (Continued)**TAX INFORMATION AND AMOUNT SEGMENT -- required**

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	4	4	"1836"=Total Employees
TIA02	782	Monetary Amount	R	O			Not Used
TIA03	449	Fixed Format Info	AN	O			Not Used
TIA04	380	Quantity	R	M	1	7	Total Number of Employees
TIA05	355	Unit of Measure	ID	M	2	2	"IE"=Person

TIA~1836~~~9999999~IE*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13005"=State Qtr Total Gross Wages
TIA02	782	Monetary Amount	R	M	1	14	State Qtr Total Gross Wages

TIA~13005~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	4	4	"1828"=State Income Taxable Wages
TIA02	782	Monetary Amount	R	M	1	14	Total State Income Taxable Wages

TIA~1828~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	4	4	"1829"=State Income Tax Withheld
TIA02	782	Monetary Amount	R	M	1	14	Total State Personal Income Tax Withheld

TIA~1829~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13031"=Month 1 Employment
TIA02	782	Monetary Amount	R	O			Not Used
TIA03	449	Fixed Format Info	AN	O			Not Used
TIA04	380	Quantity	R	M	1	7	Month 1 Employment for Employer
TIA05	355	Unit of Measure	ID	M	2	2	"IE"=Person

TIA~13031~~~9999999~IE*

TABLE 2 -- HEADER (Continued)**TAX INFORMATION AND AMOUNT SEGMENT -- optional**

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13032" Month 2 Employment
TIA02	782	Monetary Amount	R	O			Not Used
TIA03	449	Fixed Format Info	AN	O			Not Used
TIA04	380	Quantity	R	M	1	7	Month 2 Employment for Employer
TIA05	355	Unit of Measure	ID	M	2	2	"IE"=Person

TIA~13032~~~9999999~IE*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13033" Month 3 Employment
TIA02	782	Monetary Amount	R	O			Not Used
TIA03	449	Fixed Format Info	AN	O			Not Used
TIA04	380	Quantity	R	M	1	7	Month 3 Employment for Employer
TIA05	355	Unit of Measure	ID	M	2	2	"IE"=Person

TIA~13033~~~9999999~IE*

REFERENCE NUMBERS SEGMENT - optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
REF01	128	Reference Number Qualifier	AN	M	2	2	"ZZ"
REF02	127	Reference Number	AN	C	1	30	Supplement DE6

REF~ZZ~Supplement DE6*

NAME SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
N101	98	Entity Identity Code	ID	M	2	2	"ES"
N102	93	Name	AN	M	1	50	Employer Name

N1~ES~XXX*

TABLE 3 -- DETAIL

TAX FORM SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TFS01	128	Ref Number Qualifier	ID	M	2	2	"T2"=Tax Form Number
TFS02	127	Reference Number	AN	M	3	3	"DE6"=Quarterly Wage Report Form Number

TFS~T2~DE6*

FORM SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
FGS01	350	Assigned Identification	AN	M	1	1	"S"=Wage Record
FGS02	128	Ref Number Qualifier	ID	M	2	2	"SY"=Social Security Number
FGS03	127	Reference Number	AN	M	9	9	Social Security Number

FGS~S~SY~XXXXXXXXXX*

NAME SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
N101	98	Entity Identity Code	ID	M	2	2	"EY"
N102	93	Name	AN	M	1	50	Employee Name

N1~EY~XX*

INDIVIDUAL NAME SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
IN201	1104	Name Comp. Qualifier	ID	M	2	2	"05"=Last Name
IN202	93	Name	AN	M	1	20	Employee Last Name

IN2~05~XXXXXXXXXXXXXXXXXXXX*

INDIVIDUAL NAME SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
IN201	1104	Name Comp. Qualifier	ID	M	2	2	"02"=First Name
IN202	93	Name	AN	M	1	12	Employee First Name

IN2~02~XXXXXXXXXX*

TABLE 3 -- DETAIL (Continued)**INDIVIDUAL NAME SEGMENT -- optional**

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
IN201	1104	Name Comp. Qualifier	ID	M	2	2	"07"=First Middle Initial
IN202	93	Name	AN	M	1	1	Employee Middle Initial

IN2~07~X*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13005"=State Qtr Total Gross Wages
TIA02	782	Monetary Amount	R	M	1	14	Employee State Qtr Total Wages

TIA~13005~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	4	4	"1828" State Income Taxable Wages
TIA02	782	Monetary Amount	R	M	1	14	Employee State Income Taxable Wages

TIA~1828~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	4	4	"1829" State Income Tax Withheld
TIA02	782	Monetary Amount	R	M	1	14	Employee Total PIT Withheld

TIA~1829~999999999999.99*

TAX INFORMATION AND AMOUNT SEGMENT -- optional

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
TIA01	817	Tax Info ID Number	AN	M	5	5	"13017"=Wage Plan Code
TIA02	782	Monetary Amount	R	O			Not Used
TIA03	449	Fixed Format Info	AN	M	1	1	Wage Plan Code

TIA~13017~~X*

TABLE 4 -- SUMMARY

SE - TRANSACTION SET TRAILER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
SE01	96	Number of Included Segments	NO	M	1	10	1=Segment Count Including ST and SE segments
SE02	329	Tran Set Control Num	AN	M	4	9	Must Equal Segment ST02

SE~1~999999999*

TABLE 5 -- GROUP TRAILER SEGMENT

GE – FUNCTIONAL GROUP TRAILER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
GE01	97		NO	M	1	6	Number of transaction sets transmitted in this group.
GE02	28		N0	M	1	9	Group control number (SAME AS GS06)

GE~999999999*

TABLE 6 -- ENVELOPE CLOSURE

IEA – INTERCHANGE CONTROL TRAILER SEGMENT -- required

REF	ID	ELEMENT NAME	ATTRIBUTES				VALUE/DESCRIPTION
			Type	Req	Min	Max	
IEA01	116		NO	M	1	5	Number of functional groups included in this interchange.
IEA02	112		N0	M	1	9	Interchange control number (SAME AS ISA13)

IEA~999999999*

813 TRANSACTION SET CODE TABLES FOR CALIFORNIA

Header Codes

Segment ID	Data Element	Value	Description
ST01	143	813	Transaction Set ID Number
BTI01	128	T6	Tax Filing
BTI03	66	47	Tax Authority Identification(State & Dept. Abbreviation)
BTI09	66	49	State Identification Number(State Employer ID & Branch Code)
DTM01	374	327	Quarter Ending Date(YYMMDD)
DTM06	1250	D8	Date expressed in format CCYYMMDD(Last Day of Quarter)
TIA01	817	1836	Total Employees
TIA01	817	13005	State Qtr Total Gross Wages
TIA01	817	1828	State Income Taxable Wages
TIA01	817	1829	State Income Tax Withheld
TIA01	817	13031	Month 1 Employment on 12th of Month for Entity
TIA01	817	13032	Month 2 Employment on 12th of Month for Entity
TIA01	817	13033	Month 3 Employment on 12th of Month for Entity
TIA05	355	1N	Count
N101	98	ES	Employer Name

Detail Codes

Segment ID	Data Element	Value	Description
TFS Loop for Form Number (Child)			
TFS01	128	T2	Tax Form Number
FGS Loop for Detail Wages (Child)			
FGS02	128	SY	Social Security Number
N101	98	EY	Employee Name
IN201	1104	05	Last Name(Employee)
IN201	1104	02	First Name(Employee)
IN201	1104	07	First Middle Initial(Employee)
TIA01	817	13005	State Qtr Total Gross Wages
TIA01	817	1828	State Income Taxable Wages
TIA01	817	1829	State Income Tax Withheld
TIA01	817	13017	Wage Plan Code

997 Transaction Set Functional Acknowledgment

Functional Group=FA

This ANSI Draft Standard for Trial Use contains the format and establishes the data contents of the Functional Acknowledgment 997 Transaction Set for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Table 1						
<u>NOTE</u>	<u>POS. NO.</u>	<u>SEG. ID</u>	<u>NAME</u>	<u>REQ. DES.</u>	<u>MAX USE</u>	<u>LOOP REPEAT</u>
N	010	ST	Transaction Set Header	M	1	
N	020	AK1	Functional Group Response Header	M	1	
LOOP ID - AK2						
N	030	AK2	Transaction Set Response header	O	1	999999
LOOP ID - AK3						
C	040	AK3	Data Segment Note	O	1	999999
	050	AK4	Data Element Note	O	99	
	060	AK5	Transaction Set Response Trailer	M	1	
	070	AK9	Functional Group Response Trailer	M	1	
	080	SE	Transaction Set Trailer	M	1	

NOTES

- 1/010 These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments.
- 1/010 The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.
- 1/010 There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.
- 1/020 AK1 is used to respond to the functional group header and to start the acknowledgment for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.
- 1/030 AK2 is used to start the acknowledgment of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

COMMENTS

- 1/040 The data segments of this standard are used to report the results of the syntactical analysis of the functional groups of transaction sets; they report the extent to which the syntax complies with the standards for transaction sets and functional groups. They do not report on the semantic meaning of the transaction sets (for example, on the ability of the receiver to comply with the request of the sender).

DEFINITIONS AND CONCEPTS

Reference #

Data Element Reference Designator - The number assigned to each data element in a segment indicating its sequential position within the segment. The counting of positions starts with 01 for the first data element and is incremented by one to the end of the segment.

Element ID

Data Element Reference Number - The unique reference number assigned to each data element.

Attributes

1. Requirement

- A. (M) Mandatory - A data element required to appear in the segment.
- B. (O) Optional - An optional data element, unless otherwise noted.
- C. (X) Relational - Relational conditions may exist between two or more data elements within a segment based on the presence or absence of one of those data elements (presence means a data element must not be empty). Relational conditions are specified by a condition code and the identity of the subject elements.

2. Type

- A. (ID) Identifier - A data element always containing a unique value from a single, predefined list of values that is maintained by the ANSI X12 or some other body recognized by ANSI X12.
- B. (AN) String - A string data element is a sequence of any characters from the basic or extended character sets and contains at least one non-space character. The significant characters shall be left justified. Leading spaces, when they occur, are presumed to be significant characters. In the actual data stream, trailing spaces should be suppressed.
- C. (DT) Date - A date data element used to express the standard date in YYMMDD format in which YY is the year, MM is the month (01 to 12), and DD is the day in the month (01 to 31).
- D. (TM) Time - A time data element used to express the time in HHMM format in which HH is the hour for a 24-hour clock (00 to 23), MM is the minute (00 to 59).

DEFINITIONS AND CONCEPTS

Con't

- E. (R) Decimal Number - A decimal data element contains an explicit decimal point and is used for numeric values that have a varying number of decimal positions. The decimal point always appears in the character stream if the decimal point is at any place other than the right end.

If the value is an integer (decimal point at the right end) the decimal point should be omitted. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) shall not be transmitted. Leading zeros should be suppressed unless necessary to satisfy a minimum length requirement. Trailing zeros following the decimal point should be suppressed unless necessary to indicate precision. The use of triad separators (for example, the commas in "1,000,000") is expressly prohibited. The length of a decimal type data element does not include the optional leading sign or decimal point.

- F. (N0) Numeric - The data element dictionary defines the number of implied decimal positions. The representation for this data element is Nn where "N" indicates that it is numeric and "n" indicates the number of decimal positions to the right of the implied decimal point. If n is 0, it need not appear in the specifications; N is equivalent to N0.

3. Length

- A. Minimums / Maximums - The minimum and maximum number of characters allowed for a data element.

Value

- The value required in the data element. If a specific value is noted within quotes, please use that value. The value field for date and time and dollar amount data elements shows the format to be used. If the value field is blank, it may be software generated value, unique to your business, or defined as a "NOT USED" data element.

Definition

- An explanation of the value field.

ACRONYMS

ISA	Interchange Control Header
GS	Functional Group Header
ST	Transaction Set Header
BTI	Begin Tax Information
DTM	Date/Time Reference
TIA	Tax Information and Amount
REF	Reference Numbers
N1	Name
TFS	Tax Form
FGS	Form
IN2	Individual Name
SE	Transaction Set Trailer
GE	Functional Group Trailer
IEA	Interchange Control Trailer

D-U-N-S	Data Universal Numbering System
EDI	Electronic Data Interchange
FTP	File Transfer Protocol
HWDC	Health and Welfare Data Center
ICESA	Interstate Conference of Employment Security Agencies
TAS	Tax Accounting System
TLE	Trusted Link Enterprise (Harbinger's EDI software)
TPAD	Tax Processing and Accounting Division
TS	Transaction Set (EDI term for tax forms, documents, etc.)
VAN	Value Added Network

SECTION D

Quarterly DE 6 Wage Plan Codes

Please use the appropriate plan code that pertains to your employees. The Plan Code indicates the types of coverage an employee has and is correlated with your EDD employer account number.

- S = Employee is covered under a State Plan for both Unemployment Insurance and Disability Insurance.
- U = Employee is covered under a Department approved Voluntary Plan for Disability Insurance and the State Plan for Unemployment Insurance.
- J = Employee is covered under the State Plan for Disability Insurance only (exempt from Unemployment Insurance).
- L = Employee is covered under a Voluntary Plan for Disability Insurance only (exempt for Unemployment Insurance).
- R = Employee is covered under the State Plan for Unemployment Insurance but is exempted from Disability Insurance. This applies only to Sole Stockholder who claim an exemption under Section 637.1 of the California Unemployment Insurance Code (CUIC); Third Party Sick Pay recipients who claim an exemption under Section 931.5 of the CUIC; and the employees claiming a Religious Exemption under Section 2909 of the CUIC. The employee must file an exemption certificate for the religious exemption.
- A = Employee is covered under the State Plan for Unemployment Insurance. This applies only to public entity employees.
- P = Employee is covered for Personal Income Tax withholding purposes only.

Do not leave the Wage Plan Code blank.